

# **PROGRAM ANNOUNCEMENT TO NATIONAL LABORATORIES**



**U.S. Department of Energy  
Golden Field Office**

**20% Wind by 2030: Overcoming the Challenges**

**Program Announcement number: DE-PS36-09GO99010**

**Announcement Type: Modification 002**

**CFDA Number: 81.087**

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**Proposal Due Date: 03/03/2009, 11:59 PM Eastern Time**



**Department of Energy**  
Golden Field Office  
1617 Cole Boulevard  
Golden, Colorado 80401-3393

DE-PS36-09G099010  
Modification No. 002

DATE: January 23, 2009  
FROM: Sara Wilson, Contracting Officer  
TO: All Prospective Applicants

SUBJECT: Modification No. 002 to Program Announcement DE-PS36-09G099010,  
"20% Wind by 2030: Overcoming the Challenges"

The Program Announcement is amended as follows:

1. In Part I – PROGRAM ANNOUNCEMENT DESCRIPTION, the asterisked statement beneath the Topic Area Summary table regarding Federal Funding is deleted and replaced with the following to notify offerors of possible increases in expected number of awards:

"\*Federal funding is subject to annual appropriations – all figures above should be treated as estimates. Furthermore, in anticipation of possible increased Fiscal Year 2009 funding appropriated under potential Congressional actions such as *The American Recovery and Reinvestment Act of 2009*, the total expected number of awards may increase."

2. In Part III – PROPOSAL AND SUBMISSION INFORMATION (ALL TOPIC AREAS), Section C., "Content and Form of Proposal", paragraphs 2 and 3 (in bold type) are deleted as they are not applicable to this Program Announcement.

All other terms and conditions remain unchanged.



**Department of Energy**  
Golden Field Office  
1617 Cole Boulevard  
Golden, Colorado 80401-3393

DE-PS36-09G099010  
Modification No. 001

DATE: January 9, 2009  
FROM: Sara Wilson, Contracting Officer  
TO: All Prospective Applicants

SUBJECT: Modification No. 001 to Program Announcement DE-PS36-09G099010,  
"20% Wind by 2030: Overcoming the Challenges"

The Program Announcement is amended as follows:

1. Under Topic Areas 1, 2, and 3; OTHER INFORMATION; Section F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM; the Rights in Technical Data subparagraph is deleted and replaced with the following (additional language shown in bold type):

"Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE's own needs or to insure the commercialization of technology developed under a DOE agreement. **For DOE National Laboratories, intellectual property rights, including data rights, shall be governed by the relevant terms and conditions of the Laboratories' Management and Operating Contracts.**"

All other Terms and Conditions remain unchanged.

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#### **ELIGIBILITY INFORMATION**

- A. Eligible Offerors**
- B. Cost Sharing**
- C. Other Eligibility Requirements**
- D. Multiple Principal Investigators**

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- H. Type of Proposal**

#### **ELIGIBILITY INFORMATION**

- A. Eligible Offerors**
- B. Cost Sharing**
- C. Other Eligibility Requirements**
- D. Multiple Principal Investigators**

## **PROPOSAL REVIEW INFORMATION**

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- B. Review and Selection Process**
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## PART I – PROGRAM ANNOUNCEMENT DESCRIPTION

The Department of Energy (DOE), Office of Energy Efficiency and Renewable Energy (EERE), Wind and Hydropower Technologies Program (WHTP) intends to issue a parallel Funding Opportunity Announcement (FOA) directed at industry partners and a Program Announcement (PA) directed at Department of Energy Laboratories to address wind development technical challenges as well as market acceptance barriers.

The parallel Announcements target support for six topic areas, three of which are sought in this PA: Turbine research, development and testing; Environmental research and siting strategies; and Workforce development.

The Wind and Hydropower Program contributes directly to the Department of Energy's mission of improving national, energy, and economic security and increasing the diversity of our Nation's energy resources. The WHTP's mission is to maximize renewable energy utilization in the United States by leading the Nation's research and development efforts to improve wind and water energy generation technology, in coordination with stakeholders, and to address barriers to the use of renewable energy. Fulfilling this mission will result in greater energy security and enhanced domestic economic benefit through more diverse, clean, reliable, affordable, and secure domestic electricity supplies. The Wind Energy Program has increased focus on near- to medium-term actions to significantly accelerate use of wind energy technologies, thus reducing the Nation's dependence on imported and environmentally damaging energy sources. The Program launched an effort, in collaboration with industry, to assess the potential for and impact of providing 20% of the Nation's electrical energy from wind technology.

In May 2008, DOE issued the "20% Wind Energy by 2030" report. The report found that the Nation possesses affordable wind energy resources far in excess of those needed to enable a 20% scenario. However, major challenges need to be overcome and require action for 20% wind to be possible:

- Investment in significant additional transmission capacity required to integrate high levels of wind across the country;
- Larger electric load balancing areas are required, in tandem with better regional planning, so that regions can depend on a diversity of renewable generation sources;
- Continued reduction in wind turbine capital costs through technology advancement and improved manufacturing capabilities;
- Improved wind turbine performance and reduction of operating and maintenance costs through improved reliability;
- Addressing concerns about local siting, wildlife, and environmental issues within the context of electricity generation.
- Developing an abundant and skilled workforce to supply the growing renewable energy industry.

The report can be found at <http://www1.eere.energy.gov/windandhydro>.

National Laboratories will compete for DOE funding within the following Topic Areas:

1. Supporting Wind Turbine Research and Testing
2. Environmental Impact
3. Workforce Development

National Laboratories may apply to more than one Topic Area provided they meet eligibility requirements as specified for each Topic Area (see “Eligibility Information”). An Offeror responding to multiple Topic Areas must provide separate, complete proposals for each Topic Area. **Each proposal should be clearly marked by Topic Area.**

***Topic Area Summary***

<b>Topic Area</b>	<b>Total Estimated Federal Funding*</b>	<b>Estimated FY09 Federal Funding</b>	<b>Expected Number of Awards</b>	<b>Required Cost Share</b>	<b>Estimated Range Per Award (DOE Share)</b>	<b>Period of Performance</b>
1 - Supporting Wind Turbine Research and Testing	\$2.0 million	\$1.0 million	3 to 5	20% for non-FFRDC sub-recipients	\$200,000 - 400,000	1 - 2 years
2 - Environmental Impact	\$0.5 million	\$0.25 million	3 to 5	0%	\$100,000 - 150,000	1 - 2 years
3 - Workforce Development	\$0.5 million	\$0.25 million	3 to 5	0%	\$100,000 - 150,000	1 - 2 years

**\*Federal funding is subject to annual appropriations – all figures above should be treated as estimates.**



## PART II – TOPIC AREA DETAILS

**Note:** Part II of this announcement contains three separate sections describing each Topic Area in detail including full descriptions of each Topic Area as well as award, eligibility, and merit review information.

### **Topic Area 1: Supporting Wind Turbine Research and Testing**

## AWARD INFORMATION

### **A. BACKGROUND**

Objectives: Current turbine technology has enabled wind energy to become a viable power source in today's energy market. Even so, wind energy provides only about 1% of total U.S. electricity generation. Advancements in turbine technology that can increase wind energy's presence are needed. With sufficient research, development, and demonstration (RD&D), new advances could have a significant impact on commercial product lines in 2015. Partnering with private industry and other Federally Funded Research and Development Centers (FFRDCs) is encouraged. These topic areas of study include reducing capital costs, increasing availability and capacity factors, mitigating risk through enhanced system reliability, and improved quality and quantity of measured wind data:

- Research and development for advanced components that address the design issues (size, weight, cost, performance, and reliability) of the next generation wind turbines. Components of interest include advanced rotors and drive trains, tower structures and foundations, advanced controls, and diagnostic tools for condition based monitoring.
- Improved operational strategies in order to decrease the impacts of variability in wind power production, both at the bulk power generation and distributed level.
- Improved understanding and characterization of inflow conditions on turbines in complex terrains and multi-arrays to help engineers better understand, model, and design for turbine loading, turbine performance, and power plant performance.
- Measurement of wind profiles for wind forecasting model validation and improvement: Characterization of atmospheric flow over multiple seasons and in multiple locations to improve theoretical and numerical descriptions of the atmosphere in regions and on time scales critical for wind energy purposes.

### **B. TYPE OF AWARD INSTRUMENT**

DOE anticipates providing funding for selected projects to DOE National Laboratories through Field Work Proposals.

### **C. ESTIMATED FUNDING**

Approximately \$ 1,000,000 is expected to be available for new awards in FY 2009 and an additional \$ 1,000,000 is expected to be available for awards made under this

announcement in FY 2010.

**D. MAXIMUM AND MINIMUM AWARD SIZE**

Ceiling (i.e., the maximum amount for an individual award made under this announcement): \$ 400,000

Floor (i.e., the minimum amount for an individual award made under this announcement): \$ 200,000

**E. EXPECTED NUMBER OF AWARDS**

DOE anticipates making 3 to 5 awards under this announcement depending on the size of the awards.

**F. ANTICIPATED AWARD SIZE**

DOE anticipates that awards will be in the \$ 200,000 – \$ 400,000 range for the total project period.

**G. PERIOD OF PERFORMANCE**

DOE anticipates making awards that will run for up to 2 years.

**H. TYPE OF PROPOSALS**

Only new proposals will be accepted under this announcement (e.g., proposals for renewals of existing DOE funded projects will not be considered).

## **ELIGIBILITY INFORMATION**

**A. ELIGIBLE OFFERORS**

Eligibility is restricted to DOE National Laboratories or DOE National Laboratory-led consortia, with the exception of the National Renewable Energy Laboratory (NREL) and the Sandia National Laboratory (SNL). NREL and SNL shall not be the prime recipient(s) for any awards under this Program Announcement, though they may partner with the prime as a sub-recipient. DOE's objective in excluding NREL and SNL is to expand the breadth of the National Laboratory technical support and assistance to the Wind and Hydropower Technologies Program. Partnering with private industry and other FFRDCs is encouraged.

**B. COST SHARING**

Cost sharing is not required by National Laboratories. However, cost share will be required for institutions of higher education, nonprofit or for-profit private entities, and state and local governments who team with the National Lab primary applicant. The non-National Lab portion of the budget will require 20% cost sharing of the sub-recipient's cost for applied research and/or development from non-federal sources. Federally Funded Research and Development Centers (FFRDCs) that partner with the primary National Lab applicant, who are not included in the list of National labs under Section 2 of the Energy Policy Act of 2005, are not required to cost share.

## C. OTHER ELIGIBILITY REQUIREMENTS

### DOE National Laboratories and Other Federally Funded Research and Development Centers (FFRDC)

A DOE National Laboratory is eligible to apply for funding under this announcement if its cognizant contracting officer provides written authorization and this authorization is submitted with the proposal. If a DOE National Laboratory is selected for award, the proposed work will be authorized under the DOE work authorization process and performed under the laboratory's M&O contract. The following wording is acceptable for the authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the DOE assigned programs at the laboratory.”

FFRDC contractors may be proposed as team members on another entity's proposal, subject to the following guidelines:

Authorization for non-DOE FFRDCs. The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the proposal. The use of a FFRDC contractor must be consistent with the contractor's authority under its award. Save the authorization in a single file named “FFRDC\_Auth.pdf” and click on “Add Optional Other Attachment” to attach.

Authorization for DOE FFRDCs. The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE FFRDC contractor on the proposed project and this authorization must be submitted with the proposal. The following wording is acceptable for this authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory, and will not adversely impact execution of the DOE assigned programs at the laboratory.”

Value/Funding. The value of, and funding for, the FFRDC sub-recipient portion of the work will not normally be included in the award to a successful offeror. Usually, DOE will fund a DOE FFRDC contractor through the DOE field work proposal system and other FFRDC sub-recipients through an interagency agreement with the sponsoring agency.

Cost Share. The offeror's cost share requirement will be based on the total cost of the project, including the offeror's and the FFRDC contractor's portions of the effort.

#### FFRDC Sub-Recipient Effort:

- The FFRDC sub-recipient effort, in aggregate, shall not exceed 25 % of the total estimated cost of the project.

**Responsibility.** The offeror, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the offeror and its sub-recipients.

#### **D. MULTIPLE PRINCIPAL INVESTIGATORS**

The assignment and use of multiple Principal Investigators (PIs) in projects awarded under this PA is allowed. The offeror, whether a single organization or team/partnership/consortium, must however indicate in the proposal if the project will include multiple PIs. (See Part III, Section C.) The decision to use multiple PIs for a project is the sole responsibility of the offeror. If multiple PIs will be designated, the proposal must identify in the proposal the Contact PI/Project Coordinator and provide a “Coordination and Management Plan” that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction
- Publications;
- Intellectual property issues;
- Communication plans;
- Procedures for resolving conflicts; and
- PI’s roles and administrative, technical and scientific responsibilities for the project

### **PROPOSAL REVIEW INFORMATION**

#### **A. REVIEW CRITERIA**

##### **1. Initial Review Criteria**

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the offeror is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the program announcement. If a proposal fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

##### **2. Merit Review Criteria**

The following criteria are proposed to be used to evaluate Proposals within  
Topic 1: Supporting Wind Turbine Research and Testing:

##### **Criterion 1: Technical Merit and Innovation**

**Weight: [30%]**

- Extent to which the proposed technology addresses the technical areas of interest outlined in the solicitation and the potential superiority of the proposed project compared to existing technology

- Credibility as supported by sound engineering principles and assumptions; including experimental data and prior results to demonstrate the viability of the concept. This includes a clear understanding of the current state-of-the-art
- Demonstrated ability of the project to help further industry-wide commercial development of the relevant technology

### Criterion 2: Technical Approach and Project Research Plan Weight: [30%]

- Viability of technical approach and the project research plan to achieve PA objectives
- Degree to which proposed plan is clearly stated, organized, achievable and technically feasible, including the adequacy and completeness of proposed tasks and the resources identified to successfully address all elements of the technical plan
- Viability, completeness, and timeliness of offeror's decision points and/or deliverables in ensuring objective evaluation of progress against the proposed plan

### Criterion 3: Qualifications and Resources Weight: [25%]

- Capabilities, experience, qualifications, and credentials of team members, including the credibility of offeror's team experience and record of success in technical innovation and performance
- Availability of required equipment, laboratory and demonstration facilities, analytic support, and other necessary resources for performing the proposed project
- Demonstrated support of each team member's participation and/or cost share via letter of commitment

**Criterion 4: Commercialization /Technology Transfer Plan      Weight: [15%]**

- Level, variety, and comprehensiveness of plan to disseminate results of research to others in the industry (may include conferences, papers, workshops, and web-based information sharing)
- Likelihood that project will result in technology deployment and commercial development including a business plan that discusses potential market impact by 2015
- Level of the market share projected to be captured by the technology at full commercialization (discussion should include end-user value, potential buyers/licensees and preliminary economic analysis)

### 3. Other Selection Factors

The selection official may consider the following program policy factors in the selection process:

1. Geographic diversity of projects.
2. Technological diversity of projects.

3. Cost share above industry minimum and by others.

## **B. REVIEW AND SELECTION PROCESS**

### **a. Merit Review**

Proposals that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is at <http://www.management.energy.gov/documents/meritrev.pdf>.

**It is very important that those documents, Project Abstract and Project Narrative file, that will be used during the Merit Review Process do not contain any Personally Identifiable Information as described in Appendix B.**

### **b. Selection**

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available.

### **c. Discussions and Award**

The Government may enter into discussions with a selected offeror for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the proposal is selected for award; and/or (3) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the offeror.

## **C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

DOE anticipates notifying offerors selected for award by **the end of May 2009** and making awards by **the end of September 2009**.

## **OTHER INFORMATION**

### **A. MODIFICATIONS**

Notices of any modifications to this announcement will be posted on the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS.

### **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

DOE reserves the right, without qualification, to reject any or all proposals received in response to this announcement and to select any proposal, in whole or in part, as a basis for negotiation and/or award.

## **C. COMMITMENT OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

## **D. PROPRIETARY APPLICATION INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the offeror, should be included in a proposal only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the offeror includes the following legend on the first page of the project narrative and specifies the pages of the proposal which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this proposal have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this offeror receives an award as a result of or in connection with the submission of this proposal, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the offeror.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of offeror) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

## **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The offeror, by submitting its proposal, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing a proposal. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

## **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to

certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

## **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER**

Offerors may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

## **H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

## **I. NOTICE OF RIGHT TO CONDUCT A REVIEW OF FINANCIAL CAPABILITY**

DOE reserves the right to conduct an independent third party review of financial capability for offerors that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

## **J. NOTICE OF POTENTIAL DISCLOSURE UNDER FREEDOM OF INFORMATION ACT**

Offerors should be advised that identifying information regarding all offerors, including offeror names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such offerors are selected for negotiation of award.



## **Topic Area 2: Environmental Impact**

### **AWARD INFORMATION**

#### **A. BACKGROUND**

Objectives: Wind energy is one of the cleanest and most environmentally neutral energy sources in the world today. Compared to conventional fossil fuel energy sources, wind energy generation does not degrade the quality of our air, ground, or water and can make important contributions to reducing climate-change effects and meeting national energy security goals. As with all responsible industrial development, wind power facilities need to adhere to high standards for environmental protection and mitigate prospective impacts to the environment. Partnering with private industry and other FFRDCs is encouraged. This topic area is seeking projects that address environmental concerns as described below:

- Using lessons learned from wind projects, develop risk analysis and other adaptive management approaches that can assist with environmental and other preconstruction siting issues.
- Document strategies to address common and widely encountered environmental and other preconstruction siting issues such as radar interference in a standardized framework (such as guideline documents) based on industry best practices.

#### **B. TYPE OF AWARD INSTRUMENT**

DOE anticipates providing funding for selected projects to DOE National Laboratories through Field Work Proposals.

#### **C. ESTIMATED FUNDING**

Approximately \$ 250,000 is expected to be available for new awards in FY 2009 and an additional \$ 250,000 is expected to be available for awards made under this announcement in FY 2010.

#### **D. MAXIMUM AND MINIMUM AWARD SIZE**

Ceiling (i.e., the maximum amount for an individual award made under this announcement): \$ 150,000

Floor (i.e., the minimum amount for an individual award made under this announcement): \$ 100,000

#### **E. EXPECTED NUMBER OF AWARDS**

DOE anticipates making 3 to 5 awards under this announcement depending on the size of the awards.

#### **F. ANTICIPATED AWARD SIZE**

DOE anticipates that awards will be in the \$ 100,000 – \$ 150,000 range for the total project period.

**G. PERIOD OF PERFORMANCE**

DOE anticipates making awards that will run for up to 2 years.

**H. TYPE OF PROPOSAL**

Only new proposals will be accepted under this announcement (e.g., proposals for renewals of existing DOE funded projects will not be considered).

**ELIGIBILITY INFORMATION****A. ELIGIBLE OFFERORS**

Eligibility is restricted to DOE National Laboratories or DOE National Laboratory-led consortia, with the exception of the National Renewable Energy Laboratory (NREL) and the Sandia National Laboratory (SNL). NREL and SNL shall not be the prime recipient(s) for any awards under this Program Announcement, though they may partner with the prime as a sub-recipient. DOE's objective in excluding NREL and SNL is to expand the breadth of the National Laboratory technical support and assistance to the Wind and Hydropower Technologies Program. Partnering with private industry and other FFRDCs is encouraged.

**B. COST SHARING**

Cost sharing is not required.

**C. OTHER ELIGIBILITY REQUIREMENTS****DOE National Laboratories and Other Federally Funded Research and Development Centers (FFRDC)**

A DOE National Laboratory is eligible to apply for funding under this announcement if its cognizant contracting officer provides written authorization and this authorization is submitted with the proposal. If a DOE National Laboratory is selected for award, the proposed work will be authorized under the DOE work authorization process and performed under the laboratory's M&O contract. The following wording is acceptable for the authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the DOE assigned programs at the laboratory.”

FFRDC contractors may be proposed as team members on another entity's proposal, subject to the following guidelines:

Authorization for non-DOE FFRDCs. The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the proposal. The use of a FFRDC contractor must be consistent with the contractor's authority under its award. Save the authorization in a single file named “FFRDC\_Auth.pdf” and click on “Add Optional Other Attachment” to attach.

Authorization for DOE FFRDCs. The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE FFRDC contractor on the proposed project and this authorization must be submitted with the proposal. The following wording is acceptable for this authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory, and will not adversely impact execution of the DOE assigned programs at the laboratory.”

Value/Funding. The value of, and funding for, the FFRDC sub-recipient portion of the work will not normally be included in the award to a successful offeror. Usually, DOE will fund a DOE FFRDC contractor through the DOE field work proposal system and other FFRDC sub-recipients through an interagency agreement with the sponsoring agency.

Cost Share. The offeror’s cost share requirement will be based on the total cost of the project, including the offeror’s and the FFRDC contractor’s portions of the effort.

FFRDC Sub-Recipient Effort:

- The FFRDC sub-recipient effort, in aggregate, shall not exceed 25 % of the total estimated cost of the project.

Responsibility. The offeror, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the offeror and its sub-recipients.

#### **D. MULTIPLE PRINCIPAL INVESTIGATORS**

The assignment and use of multiple Principal Investigators (PIs) in projects awarded under this PA is allowed. The offeror, whether a single organization or team/partnership/consortium, must however indicate in the proposal if the project will include multiple PIs. (See Part III, Section C.) The decision to use multiple PIs for a project is the sole responsibility of the offeror. If multiple PIs will be designated, the proposal must identify in the proposal the Contact PI/Project Coordinator and provide a “Coordination and Management Plan” that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction
- Publications;
- Intellectual property issues;
- Communication plans’
- Procedures for resolving conflicts; and
- PI’s roles and administrative, technical and scientific responsibilities for the project

## **PROPOSAL REVIEW INFORMATION**

### **A. REVIEW CRITERIA**

#### **1. Initial Review Criteria**

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the offeror is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the program announcement. If a proposal fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

#### **2. Merit Review Criteria**

The following criteria are proposed to be used to evaluate Proposals within  
Topic 2: Environmental Impact:

##### **Criterion 1: Technical Merit and Innovation**

**Weight: [30%]**

- Extent to which the proposal addresses the technical areas of interest outlined in the solicitation and the potential superiority of the proposed project compared to existing approaches
- Credibility as supported by sound engineering principles and assumptions, including experimental data and prior results to demonstrate the viability of the concept; this includes a clear understanding of the current state-of-the-art
- Demonstrated ability and impact of the project to help further industry-wide commercial development of wind

##### **Criterion 2: Technical Approach and Project Research Plan    Weight: [30%]**

- Viability of technical approach and the project research plan to achieve PA objectives
- Degree to which proposed plan is clearly stated, organized, achievable and technically feasible, including the adequacy and completeness of proposed tasks and the resources identified to successfully address all elements of the technical plan
- Viability, completeness, and timeliness of offeror's decision points and/or deliverables in ensuring objective evaluation of progress against the proposed plan

##### **Criterion 3: Qualifications and Resources**

**Weight: [25%]**

- Capabilities, experience, qualifications, and credentials of team members, including the credibility of offeror's team experience and record of success in technical innovation and performance

- Availability of required equipment, laboratory and demonstration facilities, analytic support, and other necessary resources for performing the proposed project
- Demonstrated support of each team member's participation and/or cost share via letter of commitment

#### **Criterion 4: Results Dissemination**

**Weight: [15%]**

- Level, variety, and comprehensiveness of plan to disseminate results of research to others in the wind industry (may include conferences, papers, workshops, and web-based information sharing)

### **3. Other Selection Factors**

The selection official may consider the following program policy factors in the selection process:

1. Geographic diversity of projects.
2. Technological diversity of projects.
3. Cost share above industry minimum and by others.

## **B. REVIEW AND SELECTION PROCESS**

### **a. Merit Review**

Proposals that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is at <http://www.management.energy.gov/documents/meritrev.pdf>.

**It is very important that those documents, Project Abstract and Project Narrative file, that will be used during the Merit Review Process do not contain any Personally Identifiable Information as described in Appendix B.**

### **b. Selection**

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available.

### **c. Discussions and Award**

The Government may enter into discussions with a selected offeror for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the proposal is selected for award; and/or (3) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the offeror.

**C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

DOE anticipates notifying offerors selected for award by **the end of May 2009** and making awards by **the end of September 2009**.

**OTHER INFORMATION****A. MODIFICATIONS**

Notices of any modifications to this announcement will be posted the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS.

**B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

DOE reserves the right, without qualification, to reject any or all proposals received in response to this announcement and to select any proposal, in whole or in part, as a basis for negotiation and/or award.

**C. COMMITMENT OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

**D. PROPRIETARY APPLICATION INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the offeror, should be included in a proposal only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the offeror includes the following legend on the first page of the project narrative and specifies the pages of the proposal which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this proposal have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this offeror receives an award as a result of or in connection with the submission of this proposal, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the offeror.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of offeror) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

## **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The offeror, by submitting its proposal, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing a proposal. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

## **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

## **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER**

Offerors may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

**H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

**I. NOTICE OF RIGHT TO CONDUCT A REVIEW OF FINANCIAL CAPABILITY**

DOE reserves the right to conduct an independent third party review of financial capability for offerors that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

**J. NOTICE OF POTENTIAL DISCLOSURE UNDER FREEDOM OF INFORMATION ACT**

Offerors should be advised that identifying information regarding all offerors, including offeror names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such offerors are selected for negotiation of award.



### **Topic Area 3: Workforce Development**

#### **AWARD INFORMATION**

##### **A. BACKGROUND**

Objectives: Major expansion of wind power in the United States would require substantial numbers of skilled personnel available to design, build, operate, maintain, and advance wind power equipment and technology. At the same time, there is a national demand for job creation, job training, and entrepreneurial opportunities in the emerging green economy. A shift to a clean, green economy can improve the health and well-being of unemployed and low-income people and can also create and expand entrepreneurial, wealth-building opportunities for American workers who need new avenues in these tough economic times. The effort to curb global warming and oil dependence can simultaneously create well-paid green-collar jobs, and contribute to the deployment of wind energy throughout the nation. Partnering is strongly encouraged. This topic area is seeking projects that address workforce development as described below:

- Engaging and partnering with industry, government, colleges, and community organizations in the development of Green-Collar jobs both in and out of the laboratories' local area

##### **B. TYPE OF AWARD INSTRUMENT**

DOE anticipates providing funding for selected projects to DOE National Laboratories through Field Work Proposals.

##### **C. ESTIMATED FUNDING**

Approximately \$ 250,000 is expected to be available for new awards in FY 2009 and an additional \$ 250,000 is expected to be available for awards made under this announcement in FY 2010.

##### **D. MAXIMUM AND MINIMUM AWARD SIZE**

Ceiling (i.e., the maximum amount for an individual award made under this announcement): \$ 150,000

Floor (i.e., the minimum amount for an individual award made under this announcement): \$ 100,000

##### **E. EXPECTED NUMBER OF AWARDS**

DOE anticipates making 3 to 5 awards under this announcement depending on the size of the awards.

##### **F. ANTICIPATED AWARD SIZE**

DOE anticipates that awards will be in the \$ 100,000 – \$ 150,000 range for the total project period.

##### **G. PERIOD OF PERFORMANCE**

DOE anticipates making awards that will run for up to 2 years.

**H. TYPE OF PROPOSAL**

Only new proposals will be accepted under this announcement (e.g., proposals for renewals of existing DOE funded projects will not be considered).

**ELIGIBILITY INFORMATION****A. ELIGIBLE OFFERORS**

Eligibility is restricted to DOE National Laboratories or DOE National Laboratory-led consortia, with the exception of the National Renewable Energy Laboratory (NREL) and the Sandia National Laboratory (SNL). NREL and SNL shall not be the prime recipient(s) for any awards under this Program Announcement, though they may partner with the prime as a sub-recipient. DOE's objective in excluding NREL and SNL is to expand the breadth of the National Laboratory technical support and assistance to the Wind and Hydropower Technologies Program. Partnering with private industry and other FFRDCs is encouraged.

**B. COST SHARING**

Cost sharing is not required.

**C. OTHER ELIGIBILITY REQUIREMENTS****DOE National Laboratories and Other Federally Funded Research and Development Centers (FFRDC)**

A DOE National Laboratory is eligible to apply for funding under this announcement if its cognizant contracting officer provides written authorization and this authorization is submitted with the proposal. If a DOE National Laboratory is selected for award, the proposed work will be authorized under the DOE work authorization process and performed under the laboratory's M&O contract. The following wording is acceptable for the authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the DOE assigned programs at the laboratory.”

FFRDC contractors may be proposed as team members on another entity's proposal, subject to the following guidelines:

Authorization for non-DOE FFRDCs. The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the proposal. The use of a FFRDC contractor must be consistent with the contractor's authority under its award. Save the authorization in a single file named “FFRDC\_Auth.pdf” and click on “Add Optional Other Attachment” to attach.

Authorization for DOE FFRDCs. The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE FFRDC contractor on the proposed project and this

authorization must be submitted with the proposal. The following wording is acceptable for this authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory, and will not adversely impact execution of the DOE assigned programs at the laboratory.”

Value/Funding. The value of, and funding for, the FFRDC sub-recipient portion of the work will not normally be included in the award to a successful offeror. Usually, DOE will fund a DOE FFRDC contractor through the DOE field work proposal system and other FFRDC sub-recipients through an interagency agreement with the sponsoring agency.

Cost Share. The offeror’s cost share requirement will be based on the total cost of the project, including the offeror’s and the FFRDC contractor’s portions of the effort.

FFRDC Sub-Recipient Effort:

- The FFRDC sub-recipient effort, in aggregate, shall not exceed 25 % of the total estimated cost of the project.

Responsibility. The offeror, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the offeror and its sub-recipients.

#### **D. MULTIPLE PRINCIPAL INVESTIGATORS**

The assignment and use of multiple Principal Investigators (PIs) in projects awarded under this PA is allowed. The offeror, whether a single organization or team/partnership/consortium, must however indicate in the proposal if the project will include multiple PIs. (See Part III, Section C.) The decision to use multiple PIs for a project is the sole responsibility of the offeror. If multiple PIs will be designated, the proposal must identify in the proposal the Contact PI/Project Coordinator and provide a “Coordination and Management Plan” that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction
- Publications;
- Intellectual property issues;
- Communication plans;
- Procedures for resolving conflicts; and
- PI’s roles and administrative, technical and scientific responsibilities for the project

## PROPOSAL REVIEW INFORMATION

### A. REVIEW CRITERIA

#### 1. Initial Review Criteria

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the offeror is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the program announcement. If a proposal fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

#### 2. Merit Review Criteria

The following criteria are proposed to be used to evaluate Proposals within  
Topic 3: Workforce Development:

##### **Criterion 1: Project Description and Management Plan** **Weight: [50%]**

- Clarity and completeness of the description of each activity necessary to complete the project
- Soundness of the project management plan with respect to proposed tasks, organizational structure, deliverables, schedule, and objectives
- Adequacy, appropriateness, and reasonableness of the cost and schedule to complete the proposed project

##### **Criterion 2: Qualifications and Resources** **Weight: [50%]**

- Demonstrated capabilities of the offeror and participants to comprehensively address all aspects of the proposed project including knowledge of wind systems and related technologies
- Demonstrated level of partnership with private industry, academia, NGOs and state/federal government
- Level of experience and commitment of offeror and participants with regard to creation of jobs specifically for renewable/wind energy
- Availability of required expertise, equipment, laboratory and demonstration facilities, leadership support, and other necessary resources for performing the proposed project
- Demonstrated support of each team member's participation and/or cost share via letter of commitment

### 3. Other Selection Factors

The selection official may consider the following program policy factors in the selection process:

1. Geographic diversity of projects.
2. Technological diversity of projects.
3. Cost share above industry minimum and by others.

## B. REVIEW AND SELECTION PROCESS

### a. Merit Review

Proposals that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is at <http://www.management.energy.gov/documents/meritrev.pdf>.

**It is very important that those documents, Project Abstract and Project Narrative file, that will be used during the Merit Review Process do not contain any Personally Identifiable Information as described in Appendix B.**

### b. Selection

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available.

### c. Discussions and Award

The Government may enter into discussions with a selected offeror for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the proposal is selected for award; and/or (3) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the offeror.

## C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE anticipates notifying offerors selected for award by **the end of May 2009** and making awards by **the end of September 2009**.

## OTHER INFORMATION

### A. MODIFICATIONS

Notices of any modifications to this announcement will be posted on the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS.

**B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

DOE reserves the right, without qualification, to reject any or all proposals received in response to this announcement and to select any proposal, in whole or in part, as a basis for negotiation and/or award.

**C. COMMITMENT OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

**D. PROPRIETARY APPLICATION INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the offeror, should be included in a proposal only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the offeror includes the following legend on the first page of the project narrative and specifies the pages of the proposal which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this proposal have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this offeror receives an award as a result of or in connection with the submission of this proposal, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the offeror.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of offeror) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

**E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The offeror, by submitting its proposal, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing a proposal. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

## **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

## **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER**

Offerors may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

## **H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

## **I. NOTICE OF RIGHT TO CONDUCT A REVIEW OF FINANCIAL CAPABILITY**

DOE reserves the right to conduct an independent third party review of financial capability for offerors that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

## **J. NOTICE OF POTENTIAL DISCLOSURE UNDER FREEDOM OF INFORMATION ACT**

Offerors should be advised that identifying information regarding all offerors, including offeror names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such offerors are selected for negotiation of award.



## **PART III – PROPOSAL AND SUBMISSION INFORMATION (ALL TOPIC AREAS)**

### **A. ADDRESS TO REQUEST PROPOSAL PACKAGE**

Proposals must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Instructions on how to submit a proposal or a proposal amendment and how to register, submit questions, and view questions and answers are located in Appendix D and on the web site at <http://e-center.doe.gov>; click on the Help button. (Also see Section H of Part III below.)

### **B. LETTER OF INTENT AND PRE-PROPOSAL**

#### **1. Letter of Intent**

Letters of Intent are not required.

#### **2. Pre-proposal**

A pre-proposal is not required.

### **C. CONTENT AND FORM OF PROPOSAL**

You must complete the mandatory forms and any applicable optional forms, in accordance with the instructions on the forms and the additional instructions below, as required by this PA.

**Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement. IIPS is currently phasing out the use of the PureEdge software and transitioning to using Adobe Reader software. DOE will not begin using the Adobe forms until January 2009. As the closing date and time for this PA is after the DOE transition date, an application package using the Adobe forms will not be posted at time of PA issuance. Once DOE has transitioned to the Adobe forms, an amendment to the PA will be posted to provide the Adobe forms. The information requested in the PA will not change with the use of the Adobe forms and does not preclude Offerors from working on the technical narrative and other required information identified in the PA.**

**Note that IIPS requires Offerors to use the compatible version of Adobe Reader software to complete an IIPS Adobe application package. To ensure you have the IIPS compatible version of Adobe Reader, visit the download software page at [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp)**

**Offerors submitting for multiple Topic Areas must provide separate, complete proposal packages for each Topic Area under which they wish to compete. Proposals must be clearly marked by Topic Area.**

#### **Field Work Proposal (DOE Form No 412.1)**

Offerors must complete and submit a DOE Field Work Proposal (FWP) for the proposed project. The FWP should be prepared in accordance with the requirements in DOE Order 412.1 Work Authorization System. DOE O 412.1 is available at

([http://management.energy.gov/documents/DOE\\_O\\_412\\_1.doc](http://management.energy.gov/documents/DOE_O_412_1.doc)). Save this FWP in a PDF file named “Proposal.pdf”.

**a. Project Summary/Abstract File**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the offeror, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects).

**The project summary/abstract must specify the Topic Area to which the project is applying.** Offerors are cautioned that this document should not include any proprietary information, trade secrets, or other confidential business, financial or sensitive information, since this summary may be subject to public disclosure under the Freedom of Information Act (FOIA). The project summary must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right) with font not smaller than 11 point. Save this information in a file named “Summary.pdf”.

**b. Project Narrative File - Mandatory Other Attachment**

The project narrative must not exceed 20 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the proposal. See Part II Section – Other Information, D (per respective Topic Area) for instructions on how to mark proprietary proposal information. Save the information in a single file named “Project.pdf.”

The project narrative must include:

- Project Objectives.  
This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- Merit Review Criterion Discussion.  
This section should be formatted to address each of the merit review criterion and sub-criterion listed in Part II, PROPOSAL REVIEW INFORMATION, SECTION A (of the respective Topic Area section). Provide sufficient information so that reviewers will be able to evaluate the proposal in accordance with these merit review criteria. DOE WILL EVALUATE AND CONSIDER ONLY THOSE PROPOSALS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERIA AND SUB-CRITERIA.
- Project Timetable:  
This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful offerors must use this

project timetable to report progress.

The above listed components of your Project Narrative combined, must be within the Narrative page limit specified above. Documents listed below may be included as clearly marked appendices to your Narrative and will not count towards the Project Narrative page limit. Please note that some of the required documents listed below may have their own page limits to which you must adhere.

**c. Resume File**

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file named “resume.pdf”. Each resume must not exceed 2 pages when printed on 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and should include the following information, if applicable:

*Education and Training.* Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.

*Professional Experience:* Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

*Publications.* Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

*Synergistic Activities.* List no more than 5 professional and scholarly activities related to the effort proposed.

Of the key personnel identified in this file, indicate the Principal Investigator(s) (PI). If multiple PIs are proposed, the offeror must provide the information indicated in Part II, ELIGIBILITY INFORMATION, Section D. as part of this file.

The resume file does not have a page limitation.

**d. Budget File**

**SF 424 A Excel, Budget Information – Non-Construction Programs File**

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, “Budget

Information – Non Construction Programs” form on the Offeror and Recipient Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART III, G.). Save the information in a single file named “SF424A.xls”.

**e. Letters of Commitment**

You must have a letter from each third party contributing cost sharing (i.e., a party other than the organization submitting the proposal) that proposes to provide all or part of the required cost sharing. **All Letters of Commitment must be attached to the Project Narrative File.** The letter must state that the third party is committed to providing a specific minimum dollar amount of cost sharing. In the budget justification, identify the following information for each third party contributing cost sharing: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed cost sharing – cash, services, or property. Letters of Commitment from parties participating in the project, exclusive of vendors, who will not be contributing cost share, but will be integral to the success of the project must be included as part of this Appendix to the Narrative. Letters of Commitment will not count towards the Project Narrative page limit.

**f. Subaward Budget File(s)**

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). Use the SF 424A Excel for Non Construction Programs or the SF 424C Excel for Construction Programs. These forms are found on the Offeror and Recipient Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee’s name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls).

**g. Budget for Federally Funded Research and Development Center (FFRDC) Sub-Recipient File, if applicable**

If a FFRDC sub-recipient is to perform a portion of the work, you must provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System. This order and the DOE Field Work Proposal form are available at the following link: <http://www.management.energy.gov/documents/o4121.pdf>. Use up to 10 letters of the FFRDC name (plus .pdf) as the file name (e.g., lanl.pdf or anl.pdf).

**h. Authorization for non-DOE or DOE FFRDCs**

Save the Authorization for non-DOE or DOE FFRDCs, as specified in Part III.C. Other Eligibility Requirements, in a single file named “FFRDC\_Auth.pdf”.

### Summary of Required Forms/Files

Your proposal must include the following documents:

Name of Document	Format	File Name
Field Work Proposal (DOE Form No 412.1)	PDF	Proposal.pdf
Project Summary/Abstract File	PDF	Summary.pdf
Project Narrative File, including required appendices (Letters of Commitment)	PDF	Project.pdf
Resume File	PDF	Resume.pdf
SF 424A Excel - Budget Information for Non-Construction Programs File	Excel	SF424A.xls
Subaward Budget File(s), if applicable	Excel	See Instructions
Budget for Federally Funded Research and Development Center (FFRDC) Sub-recipient File, if applicable.	PDF	See instructions
Authorization from cognizant Contracting Officer for FFRDC, if applicable.	PDF	FFRDC_Auth.pdf

#### D. SUBMISSIONS FROM SUCCESSFUL OFFERORS

For proposals selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Environmental Questionnaire

#### E. SUBMISSION DATES AND TIMES

##### Proposal Due Date

Proposals must be received by March 03, 2009, 11:59 PM Eastern Time. You are encouraged to transmit your proposal well before the deadline. **PROPOSALS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

#### F. INTERGOVERNMENTAL REVIEW

This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

## **G. FUNDING RESTRICTIONS**

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. The cost principles for commercial organization are in FAR Part 31.

## **H. SUBMISSION AND REGISTRATION REQUIREMENTS**

Proposals must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Instructions on how to submit a proposal or a proposal amendment and how to register, submit questions, and view questions and answers are located in Appendix D and on the web site at <http://e-center.doe.gov>: click on the Help button.

Prepare all required files in accordance with the instructions in this announcement prior to starting the transmission process. Submit the entire proposal package in one IIPS session (i.e., do not logoff before all the files are submitted).

When you are ready to submit your proposal, go to <http://e-center.doe.gov> and complete the IIPS cover page. Enter the project title and the name of the principal investigator/project director, in the “Subject” block. Then attach each file in the corresponding block in accordance with the IIPS guidance. Follow the instructions for submitting the proposal.

If you have any problems accessing information or submitting your application, contact the Help Desk at 1-800-683-0751 and select option 1, or send an email to [HelpDesk@pr.doe.gov](mailto:HelpDesk@pr.doe.gov).

**ONLY PROPOSALS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.**

Proposals submitted through IIPS constitute submission of electronically signed proposals. The name of the authorized organizational representative (i.e., the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. Do not submit a scanned copy of the signed document.

In order to submit a proposal, you must be authorized by the applicant (i.e., institution or business entity) to submit a proposal on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award.

To register go to <http://e-center.doe.gov> and follow the registration instructions.

Amendments to this announcement will be posted on the DOE Industry Interactive Procurement System (IIPS).

If you register in IIPS, you may join this announcement mailing list to receive an email when an amendment or an announcement message is posted. To view amendments and announcement messages, locate the announcement on IIPS and click on the folder next to the announcement number or follow the directions for “Locate Solicitation.”

## **PART IV - AWARD ADMINISTRATION INFORMATION (ALL TOPIC AREAS)**

### **A. AWARD NOTICES**

#### **1. Notice of Selection**

DOE will notify offerors selected for award. This notice of selection is not an authorization to begin performance.

Organizations whose proposals have not been selected will be advised as promptly as possible. This notice will explain why the proposal was not selected.

#### **2. Notice of Award**

Selected offerors will be contacted to revise the FWP if necessary and finalize the award.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **1. Administrative Requirements**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at [http://www.nsf.gov/awards/managing/fed\\_dem\\_part.jsp](http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

#### **2. Special Terms and Conditions and National Policy Requirements**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://management.energy.gov/documents/SpecialTermsandConditions1207.pdf>. The National Policy Assurances To Be Incorporated As Award Terms are located at [http://management.energy.gov/business\\_doe/1374.htm](http://management.energy.gov/business_doe/1374.htm).

#### **3. Intellectual Property Provisions**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/financial\\_assistance\\_awards.htm](http://www.gc.doe.gov/financial_assistance_awards.htm).

### **C. REPORTING**

Reporting requirements will be negotiated after selection and identified in the award agreement.

## **PART V - QUESTIONS/AGENCY CONTACTS (ALL TOPIC AREAS)**

### **A. QUESTIONS**

Questions regarding the content of the announcement must be submitted through the “Submit Question” feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the “Submit Question” button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website. Potential offerors are encouraged to read all posted Q&A prior to posting a new question.



## REFERENCE MATERIAL

### Appendix A – Definitions

**“Amendment”** means a revision to a Program Announcement

**"Offeror"** means the legal entity or individual signing the Application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single Application in response to a Program Announcement.

**"Application"** means the documentation submitted in response to a Program Announcement. NOTE: Application is referred to as Proposal in IIPS.

**“Authorized Organization Representative (AOR)”** is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the CCR.

**"Award"** means the written documentation executed by a DOE Contracting Officer, after an Offeror is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Offeror. A Financial Assistance Award may be either a Grant or a Cooperative Agreement.

**"Budget"** means the cost expenditure plan submitted in the Application, including both the DOE contribution and the Offeror Cost Share.

**"Consortium (plural consortia)"** means the group of organizations or individuals that have chosen to submit a single Application in response to a Program Announcement.

**"Contracting Officer"** means the DOE official authorized to execute Awards on behalf of DOE and who is responsible for the business management and non-program aspects of the Financial Assistance process.

**"Cooperative Agreement"** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the Offeror during the performance of the contemplated activity.

**"Cost Sharing"** means the respective share of Total Project Costs to be contributed by the Offeror and by DOE. The percentage of Offeror Cost Share is to be applied to the Total Project Cost (i.e., the sum of Offeror plus DOE Cost Shares) rather than to the DOE contribution alone.

**“Central Contractor Registry (CCR)”** is the primary database which collects, validates, stores and disseminates data in support of agency missions. Program Announcements which

require application submission through Grants.gov require that the organization first be registered in the CCR at <http://www.grants.gov/CCRRegister>.

**“Credential Provider”** is an organization that validates the electronic identity of an individual through electronic credentials, PINS, and passwords for Grants.gov. Program Announcements which require application submission through Grants.gov require that the individual applying on behalf of an organization first be registered with the Credential Provider at <https://apply.grants.gov/OrcRegister>.

**“Data Universal Numbering System (DUNS) Number”** is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. [http://www.grants.gov/offerors/request\\_duns\\_number.jsp](http://www.grants.gov/offerors/request_duns_number.jsp)

**“E-Business Point of Contact (POC)”** is the individual who is designated as the Electronic Business Point of Contact in the CCR registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to submit grant applications on behalf of their organization through Grants.gov.

**“E-Find”** is a Grants.gov webpage where you can search for Federal Funding Opportunities in FedGrants. <http://www.grants.gov/search/searchHome.do>

**“Financial Assistance”** means the transfer of money or property to an Offeror or Participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

**“Federally Funded Research and Development Center (FFRDC)”** means a research laboratory as defined by Federal Acquisition Regulation 35.017.

**“Funding Opportunity Announcement (FOA)”** is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

**“Grant”** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Offeror during the performance of the contemplated activity.

**“Grants.gov”** is the “storefront” web portal which allows organizations to electronically find and apply for competitive grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies. <http://www.grants.gov>

**“Industry Interactive Procurement System (IIPS)”** is DOE’s Internet-based procurement system which allows access to DOE’s business opportunities database, allows user registration and submittal of Applications: <http://e-center.doe.gov/>.

**"Key Personnel"** means the individuals who will have significant roles in planning and implementing the proposed Project on the part of the Offeror and Participants, including FFRDCs.

**“Marketing Partner Identification Number (MPIN)”** is a very important password designated by your organization when registering in CCR. The E-Business Point of Contact will need the MPIN to login to Grants.gov to assign privileges to the individual(s) authorized to submit applications on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

**"Participant"** for purposes of this Funding Opportunity Announcement only, means any entity, except the Offeror substantially involved in a Consortium, or other business arrangement (including all parties to the Application at any tier), responding to the Funding Opportunity Announcement.

**“Principal Investigator”** refers to the technical point of contact/Project Manager for a specific project award.

**"Project"** means the set of activities described in an Application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

**“Proposal”** is the term used in IIPS meaning the documentation submitted in response to a Funding Opportunity Announcement. Also see Application.

**“Recipient”** means the organization, individual, or other entity that receives a Financial Assistance Award from DOE, is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

**"Selection"** means the determination by the DOE Selection Official that negotiations take place for certain Projects with the intent of awarding a Financial Assistance instrument.

**"Selection Official"** means the DOE official designated to select Applications for negotiation toward Award under a subject Program Announcement.

**"Substantial Involvement"** means involvement on the part of the Government. DOE's involvement may include shared responsibility for the performance of the Project; providing technical assistance or guidance which the Offeror is to follow; and the right to intervene in the conduct or performance of the Project. Such involvement will be negotiated with each Offeror prior to signing any agreement.

**“Technology Investment Agreement (TIA)”** is a new type of assistance instrument for DOE, but they have been used by the Department of Defense for many years to support or stimulate research projects involving for-profit firms, especially commercial firms that do business primarily in the commercial marketplace. TIAs are different from grants and cooperative agreements in that the award terms may vary from the Government-wide standard terms (See DOE TIA regulations at 10 CFR Part 603). The primary purposes for including a TIA in the type of available award instruments are to encourage non-traditional Government contractors to participate in an R&D program and to facilitate new relationships and business practices. A TIA can be particularly useful for awards to consortia (See 10 CFR 603.225(b) and 603.515, Qualification of a consortium).

**"Total Project Cost"** means all the funds to complete the effort proposed by the Offeror, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the Offeror as Cost Sharing.

## Appendix B – Personally Identifiable Information

In responding to this Announcement, Offerors must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each proposal. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

1. **Public PII:** PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.
2. **Protected PII:** PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Offerors must not include in the files listed above to be evaluated by the Merit Review Committee.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g. weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal

- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

Listed below are examples of Public PII that Offerors may include in the files listed above to be evaluated by the Merit Review Committee:

- Phone numbers (work, home, cell)
- Street addresses (work and personal)
- Email addresses (work and personal)
- Digital pictures
- Birthday cards
- Birthday emails
- Medical information pertaining to work status (i.e. individual A is out sick today)
- Medical information included in a health or safety report
- Employment information that is not PII even when associated with a name
- Resumes, unless they include a Social Security Number
- Present and past position titles and occupational series
- Present and past grades
- Present and past annual salary rates (including performance awards or bonuses, incentive awards, merit pay amount, Meritorious or Distinguished Executive Ranks, and allowances and differentials)
- Present and past duty stations and organization of assignment (includes room and phone numbers, organization designations, work email address, or other identifying information regarding buildings, room numbers, or places of employment)
- Position descriptions, identification of job elements, and those performance standards (but not actual performance appraisals) that the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness
- Security clearances held
- Written biographies (e.g. to be used in a program describing a speaker)
- Academic credentials
- Schools attended
- Major or area of study
- Personal information stored by individuals about themselves on their assigned workstation or laptop unless it contains a Social Security Number

## **Appendix C – Cost Share Information**

The requirement for cost sharing included in Program Announcements (PA) issued competitively by the Department of Energy (DOE) is either statutory, programmatic, or both. Certain federal statutes require a minimum cost share requirement, by either type of activities funded or by Program. This is known as statutory cost share. The Program may also, at its discretion, require a greater level of cost share than the statutory minimum, or require cost share when there is no minimum requirement, as it determines appropriate. This is called programmatic cost share.

Research and development (R&D) activities (other than R&D activities related to basic science) require Recipients (those receiving the financial assistance awards from DOE) to cost share at a minimum of 20% of total project costs. Demonstration and Deployment activities require Recipients to cost share at a minimum of 50% of total project costs. These statutory requirements are prescribed in Section 988 of the Energy Policy Act (EPA) of 2005. Any waiver of this requirement must be approved by the Secretary of Energy.

When responding to a DOE PA, an Offeror will have the opportunity to ask questions at the DOE IIPS website (<https://e-center.doe.gov/>). Specific questions as to the acceptability and allowability of intended cost share for a proposed project in response to a PA may be posed at this site during the time period when the PA is open for questions.

The regulations that govern Federal Financial Assistance for DOE are found at 10 Code of Federal Regulations (CFR) Part 600. Specifically, Section 600.313, “Cost sharing and matching” provides guidance on acceptable contributions toward cost share requirements, as well as guidance on the valuation and documentation of contributions, for “for profit” organizations. Below is a summary of these requirements as contained in the CFR. The full CFR section may be viewed using the following link: (<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>).

Acceptable contributions, including cash contributions and third party contributions, must be accepted as part of the recipient's cost sharing or matching if such contributions meet all of the following criteria:

- They are verifiable from the recipient's records.
- They are not included as contributions for any other federally-assisted project or program.
- They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- They are allowable under 10 CFR 600.317.
- They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.
- They are provided for in the approved budget.
- They conform to other provisions of this part, as applicable.

General examples of allowable cost share are shown below. It is up to the offeror to ensure that the cost share proposed in response to this PA is allowable under 10 CFR 600.313.

- Cash provided directly by the recipient, or a sub-recipient;
- State or local government funds provided to support the proposed project, which were not provided to the State by the federal Government;
- Employees' salaries included in the budget, if paid by the employer (recipient or sub-recipient), and not reimbursed by the federal funding of the project;
- Rental value of buildings or equipment necessary to the success of the proposed project and the value of which is included in the budget for the project;
- Monetary value of SOPO activities to be performed by a third party which are included in the project budget and will not be reimbursed by federal funds.
- Program income from testing activities may be used as cost share (Topic Area 3).



## Appendix D – Industry Interactive Procurement System (IIPS) 3.5

**FOR HELP, CONTACT THE IIPS HELP DESK AT 1-800-683-0751 (SELECT OPTION 1)**

**OR AT [IIPS\\_HELPDESK@E-CENTER.DOE.GOV](mailto:IIPS_HELPDESK@E-CENTER.DOE.GOV)**

### 1. Locate Announcement/Amendments

- Go to the IIPS website at <http://e-center.doe.gov>
- Click on “Browse Opportunities” and scroll down to view DOE Financial Assistance Opportunities (Viewing “Opportunities by Contracting Activity” is recommended.) Click on the “Browse Financial Asst.” button **OR** Click on the “Login” button if you are already registered. Click on the radio button that says “IIPS - Financial Assistance” and click on the “Login” button again. Enter User Name and Password. Click on any of the options for viewing the Funding Opportunity Announcement, whichever is easiest for you to locate the Announcement. (Viewing “Opportunities by Contracting Activity” is recommended.)
- Click on folder (or blue arrow depending on your server) next to the “Golden Field Office”
- Locate and click on the Announcement number to view the “Financial Assistance Opportunity.”
- Scroll to the bottom of the page, where you will find the attached announcement, under “Full Announcement & Other Files.”

### 2. View Announcement Messages/Amendments

- Click on the folder next to the Announcement number to view amendments and announcement messages.

### 3. IIPS Registration

An applicant only has to register once on IIPS. This registration is permanent and is used for all IIPS submissions. If the applicant has already registered, it is unnecessary to register again. If an applicant has not previously registered, it is encouraged to register in IIPS at least 14 days prior to the Announcement closing date. To register:

- Go to the IIPS website at <http://e-center.doe.gov>.
- Click on the “Register” button.
- Click on the radio button next to, “Check this box for IIPS” and then click on the “Proceed to Form” button.
- Read the “Notice of Disclaimer” and click on “I Accept” if you are in agreement. (Clicking on “I Decline” will return you to the main registration page.)
- Complete the Registration Form. Also print this page, which contains your password, for future reference.
- Click on “Submit Registration.” Applicants will receive a confirmation of receipt of registration.
- Applicants will also receive an email confirming successful registration. If an applicant does not receive this email confirmation within one business day, contact the IIPS Help Desk.

#### 4. Join Mailing List

It is highly recommended that applicants join the mailing list, to receive announcement messages.

- To do so, follow the direction in item 1. Locate Announcement, and then click on the “Join Mailing List” button, enter the required information, and submit.
- After an applicant has joined the mailing list, the applicant will receive an email each time an announcement message is posted.
- However, the applicant should visit the announcement page periodically to ensure receipt of the latest information.

#### 5. Electronic Submission

Applications must be submitted in accordance with the instructions in the announcement.

#### 6. Electronic Signature

Applications submitted through IIPS constitute submission of electronically signed applications. The name of the authorized organizational representative (i.e., the administrative official, who, on behalf of the proposing organization, is authorized to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. A scanned copy of the signed documents is not required.

#### 7. Submit Application

Applicants are strongly encouraged to submit applications at least 48 hours prior to the deadline for submissions to ensure timely submission and allow time to resolve any possible transmission problems. To submit an application, follow these steps:

##### Step 1 – Prepare Application

All required files necessary for a complete application package should be prepared in accordance with the instructions in the announcement prior to starting the transmission process. Files should be completed, organized and named as instructed in Announcement part entitled “Application Content” before proceeding to submit an application. Applicants should submit the entire package in one IIPS session (do not logoff before all the files are attached).

##### Step 2 – Create Application

- Enter the IIPS website at <http://e-center.doe.gov>.
- Click on the “Login” button.
- Click on the radio button that says, “IIPS - Financial Assistance” and click on “Login” button again.
- Enter your user name (as shown on your registration email confirmation) and password. Note: These are case sensitive.
- Click on any of the options for viewing the Announcement (Opportunity), whichever is easiest for you to locate the announcement. (Viewing “Opportunities by Contracting Activity” is recommended.)
- Click on the folder (or blue arrow) next to the Golden Field Office.

- Locate the Announcement for which you are applying and click on it.
- Click on the “Create Application” button and complete the information on the application Cover Page. In order for DOE to accurately identify each application, applicants must enter a unique project title in the “Subject” line.
- Click on “Continue”.

### Step 3 – Attach Application

- Click on “Attach Application”.
- Scroll to the bottom of the page and attach each file in the corresponding block on the page, as outlined in the announcement, and then click on “Submit.” Up to 10 files may be attached. Keep file sizes to a minimum to ensure a shorter transmission time. Be patient while your files upload.
- IIPS will provide a “Submission Confirmation” with a tracking number, please print this page for your records

Once the applicant begins the "Create Application" process, there will be a record created in IIPS. Therefore, applicants must verify that duplicate applications were not inadvertently created in IIPS. If a duplicate was created, follow the steps outlined in Appendix B, Item 9.a.

**In the event that two or more applications are received from the same applicant with the same unique project title, only the application with the LATEST transmission start time will be considered for review. The application must be received on time.**

### 8. Multiple Applications for Unique Projects

An applicant may submit more than one application under the same announcement; however, each application must be uniquely titled. For each application, the applicant is required to follow the instructions in “Submit Application.” Each application must be complete and shall not rely upon another application as submission of the required documents.

### 9. Deletion of Applications

#### I. To delete an application (including all files) from IIPS:

To delete or withdraw an application or an application file, contact the IIPS Help Desk requesting the application to be removed. The following information is required when requesting to have an application deleted:

- A. Registered User’s Name as well as User Name of requestor (if different)
- B. Email address of the registered user as well as requester (if different)
- C. Company/University Name
- D. Complete Announcement Number
- E. Complete Proposal Tracking Number
- F. Date Submitted (optional)

In addition, if an application is deleted after the closing date, inform the Contract Specialist shown on the announcement, via email.

#### II. To submit a revised application:

After the Help Desk has removed the requested application, follow the steps in "Submit Application" to submit a revised application (i.e. cover page and all required files).

#### III. To submit a revised file:

After the Help Desk has removed the requested file from your application:

- Locate the announcement.
- Click on the yellow folder next to the announcement number.
- Click on the cover page of your submission, click on the "Attach Application" link, and attach the revised file. Files received past the due date will not be reviewed.

#### 10. IIPS Questions

View the "IIPS Frequently Asked Questions" by clicking on the "Help" button and scrolling to the bottom of the page. You may also contact the IIPS Help Desk at 1-800-683-0751 (select Option 1) or at [IIPS\\_HelpDesk@e-center.doe.gov](mailto:IIPS_HelpDesk@e-center.doe.gov) for questions regarding the operation of IIPS.

#### 11. Submit a Question on the Content of the Announcement

"Locate Announcement", then click on the "Submit Question" button and enter required information. You will receive an electronic notification when your question has been answered. DOE EERE will respond to a question within 5 business days, unless a similar question and answer have already been posted.

#### 12. View Questions and Answers

"Locate Announcement", then click on the "View Questions" button. If no questions have been submitted and answered, a statement to that effect will appear. Potential applicants should periodically check the IIPS website for new questions and answers.

**IIPS Resources** **A-Z IIPS User Guide—anything and everything the applicant would ever want to know about IIPS. This user guide can be found at: <http://e-center.doe.gov/doebiz.nsf/Help?OpenForm> by scrolling to the bottom of the page.**